National Endowment for the Humanities

Division of General Programs

Guidelines and Application Instructions

Humanities Projects in Libraries and Archives

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THE NATIONAL ENDOWMENT FOR THE HUMANITIES

In the act that established the National Endowment for the Humanities, the term humanities includes, but is not limited to, the study of the following disciplines: history; philosophy; languages; linguistics; literature; archaeology; jurisprudence; the history, theory, and criticism of the arts; ethics; comparative religion; and those aspects of the social sciences that employ historical or philosophical approaches.

The Endowment supports work in the humanities through programs administered by five divisions--Education Programs, Fellowships and Seminars, General Programs, Research Programs, and State Programs--and by two offices, the Office of Challenge Grants and the Office of Preservation.

THE DIVISION OF GENERAL PROGRAMS

"Democracy demands wisdom and vision in its citizens."
National Foundation on the Arts and the Humanities Act of 1965

The Division of General Programs fosters public understanding and appreciation of the humanities by supporting projects that bring the significant insights of the humanities to general audiences through interpretive exhibitions, lectures, symposia, reading and discussion groups, radio and television programs, printed materials, and other formats. Collaboration between scholars and individuals with public programming expertise--librarians, exhibition designers, filmmakers, television and radio producers, archivists, and others--distinguishes Endowment projects from those supported by other agencies or foundations. This collaboration is essential from planning through implementation. Proposals must reflect the knowledge of scholars and teachers as well as the expertise of those experienced in public programming. Scholars ensure that the projects include the critical and reflective work of the humanities, while educators, designers, and other professionals translate the work of scholarship into effective and stimulating programs.

Projects supported by the division must focus on themes or ideas central to the disciplines of the humanities. They may broaden public understanding of cultural works through the interpretation of achievements in the arts and scholarship, such as poetry, drama, fiction, biography, essays, painting, sculpture, architecture, music, or dance. By exploring historical figures or events, projects may enhance understanding of the significance of historical and cultural heritage. They may also provide the public with an awareness of the methods and insights of the disciplines of the humanities. The approach of one discipline might be explored in depth, or the perspective of several disciplines could be focused on a specific topic.

The division has four programs: Humanities Projects in Libraries and Archives, Humanities Projects in Museums and Historical Organizations, Humanities Projects in Media, and Public Humanities Projects. Out-of-school projects involving youth, especially of junior high and high school age, are encouraged in all programs.

HUMANITIES PROJECTS IN LIBRARIES AND ARCHIVES

Libraries and archives collect, preserve, and maintain a major portion of the record of the world's cultural heritage and make it available to the general public. In addition to their intrinsic importance as places where books and other resources crucial to study and learning are housed, these repositories offer a natural setting for scholars and the general public to come together. Through Humanities Projects in Libraries and Archives, the Endowment supports programs designed to increase public understanding of the humanities through the discovery, interpretation, and greater appreciation of books and other resources in library and archival collections.

There are many ways in which applicants might fulfill this goal. They could investigate, for example, the history of systems of thought; explore language as a reflection of culture; pose a philosophical debate concerning the nature of human rights; trace the development of social, political or religious systems; or examine central themes of love, war, family, or work through literature. A variety of methods and formats may be adopted: reading and discussion groups; lecture series; conferences; film series accompanied by discussion groups and supplementary readings; exhibitions of books, documents, maps, or other materials; or written materials, such as thematic anthologies, essays on specific topics, and annotated bibliographies or reading lists. Applicants are encouraged to discuss project ideas and methods with the program's staff.

All projects must involve the active collaboration of scholars from the appropriate disciplines of the humanities and the professional staff of libraries or archives during both the planning and implementation. The program encourages cooperative projects among public, academic, or special libraries, as well as with archives, museums, historical societies, and other cultural institutions. The program also encourages projects sponsored by state, regional, or national organizations or associations. Projects may take place at locations other than libraries or archives, but the resources of library and archival collections must be central.

Humanities Projects in Libraries and Archives invites proposals in the following areas:

(1) **The Appreciation and Interpretation of Cultural Works**

The program supports projects that actively engage the public in the study of historical, critical, or theoretical approaches to literature, music, the fine arts, and performing arts. This could include discussions with scholars about literary texts, paintings, and musical or theatrical compositions and performances.

Example:

Through a two year series of scholar-led reading and discussion programs, lectures, and newspaper supplements, literary classics from the **Library of America** series were read and analyzed by the general public at an Arizona public library and its branches. The project focused on significant themes in American literature, such as "Leaving Home," "Looking for America," "City Dreams, Urban Nightmares," and "Making It New," through works by Hawthorne, Melville, Twain, Emerson, Whitman, Santayana, Ellison, Baldwin, Stowe, Dickinson, Chopin, and Frost. These works were illuminated by discussions and lectures conducted by literary scholars and critics. Grant funds supported printed study guides, essays, and bibliographies for publication as newspaper supplements and handouts. The library also staged oral interpretation and film discussion programs. A training conference was presented to encourage replication of the project throughout the southwest.

Example:

A public and a research library, through a grant to The Modern Poetry Association, presented a symposium, an exhibition, and reading and discussion programs about Marianne Moore and "The Art of a Modernist Master." The public symposium brought poets and scholars together for lectures and discussions about Moore's life and art. On successive Wednesday evenings, the public heard five outstanding critics discuss Moore's life and her influence on the work of other poets, as well as on the history of American poetry. Bibliographies of Moore's work and other studies of her poetry and American poetry in general introduced the public to the poetry and to literary criticism. The exhibitions at both libraries presented and interpreted manuscripts, correspondence, publications, and personal possessions of Moore in order to illuminate her many critical contributions to American poetry.

Example:

Challenged to serve a dispersed population, a state library association in the Rocky Mountains developed a series of twenty-one packaged programs for reading and discussion groups about regional literature and history. Packages, adaptable to local interests, included audiotapes, multiple copies of books, lists of scholars prepared to lecture and lead discussions on each of the chosen texts, study guides with suggestions for further reading, and media material for publicity as well as for programming. During the two-year project, the association provided honoraria and travel costs for scholars to travel to remote areas and discuss the literature. A public radio station recorded presentations by scholars to supplement twenty-one half-hour radio magazine programs on the themes. Virtually every town in the state presented programs.

(2) The Illumination of Historical Ideas, Figures, and Events

The program seeks to promote a better understanding of American and world history through reflective and analytical treatments of historical events, key individuals, systems of thought, and historical epochs. In cases where local history is the focus of a project, every effort should be made in the proposal to tie the local history to larger perspectives. Applicants who wish to use oral history interviews in their projects must demonstrate familiarity with the methodology of this research tool. Such projects must involve experienced oral historians, and the proposal should include sample interviewing and transcription guidelines.

Example:

A university library conducted a multi-state project on the bicentennial of the Northwest Ordinance (1787) featuring exhibitions, symposia, an interpretive catalogue, and bibliographic essays. The Ordinance created "Land Grant" colleges and officially articulated a uniquely American commitment to public education. The main exhibition of historical textbooks, government documents, manuscripts, broadsides, photographs, and artifacts interpreted a special collection not usually accessible to the public. A facsimile exhibition traveled to academic, public, and historical society libraries in four states and is now available to potential borrowers throughout the country. Symposia at various exhibition sites examined such topics as the creation of state and municipal school systems, conflicts between Congress and territorial legislatures over the control of education, and the evolution of professional schools in the region. Historians and curators wrote the interpretive catalogue which was distributed free to several hundred libraries and was available at exhibition sites.

Example:

A university library highlighted its special collection of materials on Abraham Lincoln and the Civil War. Through an exhibition, public discussions, lectures, seminars, and an interpretive catalogue, local residents studied the Civil War and Lincoln as a man and as President. Moreover, a significant special collection was brought to the attention of the public. Bibliographies, scholarly papers from the seminars, and lectures were printed and distributed.

Example:

A state department of libraries and archives undertook a campaign to bring to public attention the nature and usefulness of archival and manuscript material in state and local

repositories through a project about "the making of history." Talks by historians and archivists; slide-tape programs; radio broadcasts based on oral history collections; films; traveling photographic exhibitions with interpretive labels; and workshops for public librarians, teachers, and local heritage groups comprised the nucleus of this massive effort. The project endeavored not just to draw attention to underused collections but also to encourage historically aware individuals and groups to view local archival resources in a broader national perspective. "Strangers and Kin," a film exploring the history of stereo-typing Appalachian people (supported by the NEH Humanities Projects in Media Program) was shown and discussed at programs to illustrate the content of archival records. Members of a speakers' bureau composed of historians, archivists, and librarians addressed interested groups. A slide-tape presentation, "Making History," demonstrated how to locate and use archival material. Thirty workshops for public school teachers disseminated literature about developing curricular units on history using primary source material, thereby introducing young people to these remarkable collections.

Example:

A large public library with extensive eighteenth-century collections organized a committee of scholars, librarians, curators, and archivists to plan an exhibition and educational programs marking the bicentennial of the French Revolution. Using recent research about the history of print culture, the planning focused on how ideas were communicated through the dominant media of the era--broadsides, pamphlets, and posters. Questions outlined in the plan of work were "Who controlled the press?" "What did 'Freedom of the Press' actually mean?" "Was the French Revolution a 'cultural revolution?' If so, what part did printing play in it?" By examining these questions, the committee planned to present a fresh perspective on the French Revolution.

(3) An Understanding of the Disciplines of the Humanities

The program encourages projects that explain the scholarly methods used by the disciplines of the humanities. Projects explore how scholars analyze texts--including material culture--using the methods of particular disciplines.

Example:

A research library with a strong collection of medieval and renaissance literature mounted an exhibition in order to call public attention to scholarly resources about the many realms of King Arthur. The project illustrated methodologies for comparative literary study, especially comparisons between high-

culture and popular manifestations of the Arthurian tradition during key periods in history. Through reading and discussion programs, as well as an exhibition and interpretive catalogue, viewers and participants explored the "culture of the book" that has developed around the King Arthur theme. They saw and read the books that enlarge, deepen, and elaborate on the legend.

Example:

A large research library and a community public library cooperated to interpret for young adults the research methods used by historians. The two libraries designed an after-school series of programs on the theme, "The Historian as Detective," using audience familiarity with a popular fiction genre to highlight ways in which historians uncover and interpret "clues" about the past. Lectures, drawing heavily on historical examples and anecdotes, examined such problems as what is meant by a historical "fact"; the difference between primary and secondary sources; the use of "eyewitnesses"; what prompts the creation of heores and villains; and why history needs to be periodically rewritten. During after-school meetings, audience involvement was evoked by hands-on examination of historical records commonly found in most communities (photographs, deeds, birth and death records, tax rolls, voter registrations, and newspapers). An exhibition was mounted illustrating similarities between these types of community historical sources and other records at the national level. Popular history in the public library's collection was highlighted by means of bibliographies and small book displays.

SPECIAL INITIATIVES

A special initiative is an undertaking by the Endowment to encourage proposals in all grant-making categories for projects relating to a specific subject or event. Proposals are currently solicited for the following initiatives:

The Foundations of American Society

Within its existing programs, the Endowment continues to encourage study, research, and discussion about the history, culture, and principles of the American founding, an emphasis that began with the NEH initiative on the bicentennial of the U.S. Constitution. Proposals may deal directly with the events and achievements of the founding, including the ratification of the new Constitution, the establishment of the federal government, and the works of philosophy, politics, literature, and art that were produced during this founding period. They may also treat later events, achievements, and works that have resulted or developed from the founding or that reflect or respond to its concerns and principles.

Example:

A gulf coast state library association organized a series of reading and discussion programs entitled "American Vistas." Lively programs were presented on some of American history's most vital and controversial texts, beginning with English antecedents such as the Magna Carta and moving forward to the Articles of Confederation and selected Federalist papers; the Alien and Sedition acts; the War Powers Act; and U.S. Supreme Court decisions such as Plessy v. Ferguson, Brown v. Board of Education, and U.S. v. Nixon. Scholar-led groups convened for six weeks at sixty public libraries throughout the state. More than 360 sessions were scheduled over a two-year period. Historians and other scholars conferred with librarians to adapt the project's model syllabus into local syllabi tailored to the needs of specific audiences. Longer texts were excerpted into a reader. Host libraries distributed readings in advance to registered participants, but all sessions were open to the public. Through the programs, libraries built up a cadre of scholars to assist with other programs and introduced many new users and readers to the library collections.

The Columbian Quincentenary

As part of the international observance of the 500th anniversary of Christopher Columbus's voyages to the New World, NEH invites proposals for original scholarship on related topics and for the dissemination of both new and existing scholarship. Topics may include the expansion of European civilization through the efforts of the Spanish and Portuguese crowns and the establishment of new societies and new forms of cultural expression through encounters among native American, European, and African peoples. Proposals may also explore the ideas--political, religious, philosophical, scientific, technological, and aesthetic--that shaped the processes of exploration, settlement, and cultural conflict and transformation set into motion by Columbus's momentous voyages.

Example:

New World cartography (ca. 1350-1700) documents exploration and it invites appreciation of period art. The development of cartography inspired a Great Lakes area consortium of two universities, a public library, and two private research libraries to mount a series of programs and a traveling exhibition. Seminars, public lectures, an interpretive catalogue, and annotated bibliographies reinforced audience appreciation of the cartographer's "language of space," a uniquely vital way to comprehend the historical, philosophical, and geographical advance of Columbian era exploration. Librarians, scholars, conservators, and curators translated academic perceptions through an exciting selection of original maps and facsimiles for transport to various library sites. At each site, programs illuminated topics such as European maps and map-making on the eve of the Columbian voyages, early cartographic images of America in manuscript and printed maps, maps from the American Indian viewpoint, and maps as myths. Speakers geared their presentations to introduce the discipline of historical geography to laypersons as well as to scholars from other fields.

CATEGORIES OF SUPPORT

Humanities Projects in Libraries and Archives offers support for both planning and implementation. It is not necessary to have a planning grant in order to apply for a grant for the implementation of a project. Moreover, an award for planning does not imply that subsequent funding for implementation will be awarded. Both phases require separate applications (see calendars for application deadlines, p. 12).

Planning grants are awarded to support the collaborative efforts of scholars and librarians in developing programs based on a particular theme or topic in the humanities. Care should be taken to show that the topic, theme, or idea is conceptually and intellectually sound. All planning grants are expected to include (1) a thorough discussion of the ideas animating the project and a clearly-defined topic or thesis; (2) a list of the scholars who would be involved in the planning, and whose disciplinary training, background, or professional experience relates to the topic or theme; and (3) a plan of work describing activities, meetings, and the intended results or accomplishments. The plan should also explain the general public's prospective use of library or archival collections during the implementation of the project. While the specific titles or names of items need not be known, a general idea of the collections available or those collections from which works will be chosen ought to be designated. Planning grants generally last no longer than six months and usually range from $10,000 to $20,000.

Implementation grants are awarded to support the presentation of fully developed public programs in the humanities. Such grants are normally funded for periods of one to three years, and the range is from $15,000 to $500,000. The average award is approximately $90,000 per year.

APPLICATION CALENDARS

Applications for planning projects will be accepted and reviewed four times in each calendar year. Applications for implementation will be accepted and reviewed two times in each calendar year. Applicants will be notified by letter when a decision about funding is reached.

PLANNING

Deadline	For Projects Beginning After	Notification
May 5, 1989	October 1, 1989	August 1989
August 4, 1989	January 1, 1990	November 1989
November 3, 1989	April 1, 1990	February 1990
February 2, 1990	October 1, 1990	May 1990

IMPLEMENTATION

Deadline	For Projects Beginning After	Notification
March 17, 1989	October 1, 1989	September 1989
September 15, 1989	April 1, 1990	March 1990
March 16, 1990	October 1, 1990	September 1990
September 21, 1990	April 1, 1991	March 1991

Applications must be received on or before the deadline. Late proposals will be returned to the applicant.

Applicants for grants from Humanities Projects in Libraries and Archives should be submitted to:

Humanities Projects in Libraries and Archives
Division of General Programs
National Endowment for the Humanities
Room 420
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

Telephone: 202/786-0271

APPLICATION INFORMATION

Who May Apply

Any nonprofit public, academic, special, or institutional library or archive may apply. Local, statewide, or regional library systems as well as state, regional, or national library or archival associations are eligible. Other nonprofit organizations, societies, or institutions are welcome to apply if collections of humanities resources such as those found in libraries and archives, are central to the design of the project and the project encourages the study and use of these collections. Applicants are not required to be incorporated or to have 501(c)(3) status with the Internal Revenue Service although obtaining such status is recommended, especially for applicants proposing large projects. Applicants must demonstrate the ability to administer the project in compliance with federal regulations as well as generally accepted accounting principles. For nonprofit organizations, the Endowment has prepared a checklist of basic financial management standards a nonprofit organization needs to meet. The checklist is available on request from the NEH Grants Office, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.

Preliminary Proposal

Before developing a final proposal for either planning or implementation, prospective applicants are encouraged to submit a preliminary statement of three to five pages at least eight weeks before the deadline. The letter should describe the project, the general plan for its implementation, and provide an estimate of its total budget. This preliminary inquiry allows the staff to determine the project's eligibility for Endowment support. The Endowment encourages preliminary correspondence to avoid having applicants do extensive work in preparing a full proposal if the project is not eligible for support. If a project does not fit the program's guidelines, staff members may be able to direct the applicant to another program within the Endowment or to another funding agency. If the project is eligible, staff members will advise the applicant about the development of a full proposal. Experience suggests that applicants who confer with the staff are more likely to submit a competitive proposal. The name of project directors and a daytime telephone number should be included; some responses to preliminary proposals will be made by telephone.

CHECKLIST FOR COMPLETED APPLICATION

NOTE: 15 copies of the completed application are required.

Applications submitted to Humanities Projects in Libraries and Archives should contain the elements listed below, assembled in the following order:

1. ___ Application Cover Sheet

2. ___ Table of Contents with Page Numbers

3. ___ Budget Detail

4. ___ Application Narrative

   (a) ___ Background of Project

   (b) ___ Goals and Objectives of the Project

   (c) ___ Narrative Description and Plan of Work

   (d) ___ The Project's Staff and Consultants

   (e) ___ Plans for Dissemination

   (f) ___ Plans for the Project's Continuation

5. ___ Appendices

   (a) ___ Resumes of the Project Director and Key Personnel

   (b) ___ Documentation of Commitment by Key Participants NOT Affiliated with the Applicant Institution

   (c) ___ Additional Information or supplementary Material

The body of the proposal should be submitted on standard 8 1/2 X 11 paper with pages numbered consecutively. It should be assembled so that no pages will be lost or misplaced. The application narrative should be as clear and concise as possible while still conveying the necessary information; it should be no more than 25 pages long.

INSTRUCTIONS FOR APPLICATION PREPARATION

1. Application Cover Sheet

Each block of the Application Cover Sheet should be completed. Instructions for completing the sheet appear on p. 25.

2. Table of Contents

The table of contents should list headings and the corresponding page numbers.

3. Budget Detail

Complete each block in sections A and B of the budget. Instructions for completing the section appear on p. 31.

4. Application Narrative

The application narrative is the most crucial element. Provide a clear and concise explanation of the intellectual substance of the project, explain how the activities will use the disciplines of the humanities, and describe the concepts and procedures that will advance public understanding of the humanities. In the narrative you should include the following categories:

(a) Background of the Project

Provide a brief profile of the applicant organization or institution and establish a context for the activities proposed by describing the history, mission, size, and location of the organization or institution. Identify the significant features relevant to the proposed activities; show how the proposed activities fit into the context in which they would be carried out; and demonstrate that the applicant has the ability to accomplish the objectives.

(b) Goals and Objectives of the Project

Using carefully articulated goals, explain how the humanities disciplines are brought to bear on a particular issue, topic, or theme, and how the project will advance public understanding and appreciation of the humanities. Also, clarify how the project will promote the greater appreciation or use of library or archival collections.

Provide a clear statement about the intended audience, the beneficiaries of the project, and what they will learn from the project. Clearly state how the project will relate to one or more of the division's areas of interest (see pp. 4, 6 and 7) or to Endowment initiatives. The idea, topic, or theme should be stated in terms of the disciplines or methodologies of the humanities. A brief general description of the project in terms of location, number of programs, and use of library resources should be included.

(c) Narrative Description and Plan of Work

Provide a detailed description of the organizational design of the project, a plan of work, and a complete schedule of activities. Demonstrate how the goals and objectives will be realized through the planned activities.

If applicable, the plan of work or the list of activities should provide a discussion of the following:

- a description of the collections targeted for use during programming, or a list of texts and a short description of each, or sample bibliographies and annotated reading lists.

- an exhibition walk-through that clearly links the collections or other items to be exhibited with the main ideas, themes, or topics described in the goals and objectives section.

- a description of the interpretive elements such as exhibition labels or catalogues; annotated bibliographies for reading programs; theme brochures; and lecture topics for conferences, symposia, or other program formats.

- a travel schedule for project staff and scholars or for traveling exhibitions and programs.

- supplementary information, including sample texts, exhibition designs, publicity designs, program formats, sample essays or outlines of lectures, slides, tapes, or brochures.

(d) The Project's Staff and Consultants

All projects must centrally involve scholars from one or more humanities disciplines. Clearly identify these scholars and the role they are expected to play. Key members of the project's staff should be identified, their roles described, and their qualifications stated for undertaking the specific responsibilities. Resumes should not exceed two pages and should be included in an appendix. Indicate and justify the amount of time that key members of the project's staff have agreed to devote to the project. Documentation of the commitment of all key personnel not employed by the applicant institution must also be placed in the appendix.

(e) Plans for Dissemination

A dissemination plan appropriate for the type of project is a critical part of the application. Include a full description of publications, workshops, seminars, or other means of dissemination, and the reasons they were chosen. Include provisions for sharing the results of the project with other interested groups if applicable.

(f) Plans for the Project's Continuation

If appropriate, describe in detail how the project would be continued by the institution or organization once federal funding comes to an end. Describe efforts to broaden the base of financial support for the project's activities.

1. Appendices

(a) Resumes of the Project Director and Key Personnel

A resume should include information about the person's education (including places and dates of degrees and any graduate or advanced professional education). No resume should exceed two pages.

Locate all resumes in the appendix. Attached them to the application; make certain they are received by the deadline.

If the resume of a key member of the project's staff cannot be obtained by the time the proposal is mailed, include in its place a summary statement of that person's knowledge, experience, and role in the project.

(b) Documentation of Participants' Commitment

Provide a signed and dated statement from each of the key personnel (including consultants) not formally affiliated with the applicant institution, indicating that they have agreed to participate in the project for the time specified in the proposal, if funded. (Such documentation is unnecessary for project clerical staff.)

TYPES OF FUNDING

The Endowment provides three types of funding: federal matching funds, outright funds, and a combination of the two.

Matching Funds

The Endowment is authorized to match gifts made to NEH or gifts that are given directly to an applicant and that will be used to support budgeted project activities during the grant period. Applicants are encouraged to identify potential sources of gift funds at the time they make an application to the Endowment.

Endowment matching funds are awarded on an up to one-for-one basis. The purpose of matching funds is to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts. Because matching funds enable NEH to provide support to a wider range of significant but often costly projects, institutional applicants are encouraged to consider requesting complete or partial funding in the form of a matching grant. Applicants who apply for matching funds support should refer to page 20 for information on eligible gifts and donors.

Outright Funds

An outright grant is one in which the award of Endowment funds is not contingent on the applicant's raising gifts for the project.

Combined Funds

Applicants also may request a combination of outright and matching funds from the Endowment. For example, if a project will cost $85,000 and $20,000 in gifts will be raised from eligible third parties, the applicant should request $20,000 in matching funds from the Endowment. Support for the balance of project expenditures ($45,000) may be requested in outright funds.

It should be noted that, under certain circumstances, the Endowment may offer total or partial matching support to an applicant requesting only outright support.

Cost Sharing

Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Normally, Endowment support will not exceed 80 percent of the project's total costs; the balance of the project costs are to be shared by nonfederal sources.

Grant Period

The grant period encompasses the entire period for which Endowment support funding is requested in the current application. All project activities and the expenditure of project funds, that is, grant funds and cost-sharing contributions, must occur during the grant period. In determining the beginning date of a proposed grant period, applicants should refer to the schedule of application deadline dates and project beginning dates on page 12 of these guidelines.

Grantee Responsibilities

If funding is approved by the Endowment, the applicant organization will be responsible for insuring that the grant is administered in accord with the following general grant provisions:

-- The grantee must have a financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost-sharing contributions and that monitors the expenditure of these funds against the approved budget.

-- All commitments and obligations of grant funds and cost-sharing contributions are to occur during the grant period.

-- Project activities are to be carried out in accordance with the schedule provided in the approved application.

-- Changes in the scope and objectives of the project may not be made without prior Endowment approval.

-- The replacement of the project director, the codirector, or other professional staff members who are specifically named in an award notice requires prior Endowment approval. Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.

-- All procurement transactions are to be conducted in a manner that provides, to the maximum extent practical, open and free competition; for purchases in excess of $10,000, any use of sole-source contracts must be fully justified and documented.

-- Unless otherwise notified in writing, grantees must acknowledge Endowment support in all materials resulting from grant activities.

-- If a grantee earns income from grant activities or products that result from grant activities, the Endowment reserves the right to recover a portion of the program income.

Eligible Gifts and Donors

Only gifts of money, including the net proceeds from the sale of noncash gifts, that will be used to support budgeted project activities during the grant period are eligible to be matched with federal matching funds. The source, date of transfer, and amount of the gift or net proceeds from the sale of a noncash gift must be documented in the applicant's records.

Both restricted gifts (gifts that are given specifically in support of a project) and unrestricted gifts (gifts that may be used at the recipient's discretion) are eligible to be matched if the donors give the gifts directly to the applicant.

If a gift of money is given to an individual or organization associated with the project rather than directly to the applicant, that gift normally will not be deemed eligible to release federal matching funds. The only exception is if the donor has given the gift specifically in support of the project and the gift funds and control over the expenditure of these funds are transferred to the applicant.

Applicants should note that the following items are not eligible to be matched with federal funds: federally appropriated funds, deferred and noncash gifts, income earned from gifts after they are transferred to the applicant, and income received from any fees for participation in project activities.

Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and who will receive some sort of remuneration from project funds. To avoid any possibility of conflict of interest, a gift should not be used to release federal matching funds when there is the appearance that the donor might benefit in any way by giving a gift to a particular project.

HOW APPLICATIONS ARE EVALUATED

Criteria

The following criteria are used to assess all proposals submitted to Humanities Projects in Libraries and Archives. Applications for planning are evaluated on how each of these criteria will be addressed during the planning process, and applications for implementation are examined to see how each of the criteria are applied and how they will be fulfilled. The most important factor is the quality and importance of the content to be communicated to public audiences. Evaluators are asked to consider the following questions:

- Will this project advance public understanding and appreciation of the humanities?
- Is the project significant and central to the humanities and critical methods of inquiry?
- Are the objectives and plan of work clearly defined, and to what degree are they capable of realization by the applicant?
- Do the scholars, the project's staff, and others working on the project have the requisite experience and qualifications to complete the project successfully?
- Does the creative and productive use of collections and resources encourage the appreciation and understanding of the humanities?
- Will the project be of interest to the audience defined in the proposal? Will such an audience derive lasting benefits from this project?
- Will products created during the course of the project--such as pamphlets, books, bibliographies--be disseminated effectively?
- Is the budget appropriate, given the scope and anticipated results of the project?

Panel

All applications are sent to a group of individuals who have knowledge in particular areas of the humanities or professional experience relevant to the group of proposals under consideration. This group, convened as a panel in Washington, D.C., discusses and evaluates the individual and relative merits of each proposal. New panels are constituted for each cycle of applications; there are no standing panels.

Individual (Specialist) Review

Applications may also be sent to a number of people who have knowledge of specific subject areas of the humanities and to others with a specific professional background relevant to the proposal. Each reviewer is asked to send the Endowment a written evaluation of the proposal.

Staff

The staff assesses the recommendations and suggestions of the panelists and reviewers and makes its recommendations to the National Council on the Humanities. Generally, the staff's recommendations coincide with those of the evaluators; but they may differ, and at times the staff's recommendations are required when reviewers and panelists fail to reach a consensus.

The National Council on the Humanities and the Endowment's Chairman

After applications have been evaluated by reviewers and panelists, the staff provides the National Council on the Humanities with information about the proposals, including summaries of the discussions and recommendations of panels and reviewers, and its own assessments and recommendations. The members of the council review the proposals and make their recommendations to the Chairman. By law, the Chairman has the final responsibility for decisions on applications.

If a proposal is not funded, an applicant may write to Humanities Projects in Libraries and Archives to and obtain an account of the reasons that formed the basis for the decision. Submission of a revised proposal at another deadline is always possible, and failure to gain support in one year does not prejudice an applicant's chances for consideration in the next.

INELIGIBLE ACTIVITIES

The following types of projects are not eligible for support from Humanities Projects in Libraries and Archives:

- projects to create musical composition, dance, painting, sculpture, poetry, short stories or novels, and projects providing for performance or training in these arts. Inquiries about federal support for the creative arts should be addressed to the National Endowment for the Arts, Washington, D.C. 20506;

- projects from profit-making organizations or institutions, or from individuals without an organizational or institutional base;

- projects whose primary function is to mount exhibitions from the collections of museums (see guidelines for Humanities Projects in Museums and Historical Organizations);

- projects that have as their primary focus a media production (see guidelines for Humanities Projects in Media);

- projects for renovation, restoration, rehabilitation, construction, historic preservation, or establishment of historic markers and plaques;

- projects that have as their primary focus organizing, cataloguing, indexing, or microfilming of collections (see the guidelines for the Division of Research Programs), or for preserving collections (see the guidelines for the Office of Preservation);

- projects that consist primarily of research activities;

- individual fellowships and stipends, support for graduate education, or projects that require participants to register for academic credit;

- projects directed at persuading an audience to a particular political, philosophical, religious, or ideological point of view, or that advocate a particular program of social action or change;

- projects examining issues of current controversy without the balance of competing perspectives;

- projects that have as their primary focus the development of library collections through selection and acquisition of materials;

- the publication or editorial costs of articles or monographs intended for scholarly audiences;

- stipends, fellowhips, or other support for undergraduate or graduate education;

- workshops for teachers or continuing education courses for secondary school teachers (see the guidelines for the Division of Education); and in-school projects or field trips for school age audiences.

National Endowment for the Humanities

Washington, D.C.

The following pages include:

—Instructions for Completing the Application Cover Sheet
—The Application Cover Sheet
—Field of Project Categories and Codes

Please read the instructions before completing applicable questions. Please print or type.

Purpose: The National Endowment for the Humanities uses a single cover sheet for all of its programs. This cover sheet gathers information that is necessary in one of two ways:

(1) The information is necessary for efficient consideration of the application during the review process and in the administration of the grant if an award is made.

(2) The information is *required of the Endowment* in various reports to Congress, other federal agencies, and the public. The Endowment must provide reports that involve statistical information or descriptions that can be obtained quickly from the cover sheet. Information is recorded in a computer, which stores the data for subsequent compilation and reporting.

Please read the instructions for each question carefully. Answer each question by typing or printing your reply. Please verify your answers to be certain that they are correct and complete.

You will find it helpful to complete the cover sheet last, after all other parts of the application have been prepared.

Privacy Act: The following notice is furnished in compliance with the Privacy Act of 1974:

The information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to process the grant application and for statistical research and analysis of trends. The routine uses which may be made of this information are: general administration of the grant review process; statistical summaries; congressional oversight; and analysis of trends. Failure to provide any of the requested information will result in the delay or rejection of the application.

Cover Sheet Instructions

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is 40 hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Assistant Chairman for Administration, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0118), Washington, D.C. 20503.

Block 1--Individual Applicant or Project Director

Item a. If the application is submitted through an institution or organization, enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. (Information about an institution also is requested in Blocks 2 and 11.) When an application is submitted by an individual, the name and address of the individual applying should be indicated here.

Item b. In the space provided, enter the number corresponding to the applicant's or project director's preferred form of address:

1-Mr.	3-Miss	5-Professor
2-Mrs.	4-Ms.	6-Dr.

Item c. Enter the social security number and date of birth of the applicant.

Item d. Enter the applicant's or project director's full telephone number with area code and extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left.

Item e. If possible, indicate the code for the appropriate major field from the list of Field of Project Categories and Codes on the reverse side of the Application Cover Sheet.

Block 2--Type of Applicant

Prechecked

Identify Type such as: business, religious, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational (elementary/secondary, school district, 2-yr. college, 4-yr. college, etc.), library (public, research, etc.), center (advanced study, research, etc.). Identify Status as either Private Nonprofit or Unit of State or Local Government.

Example: Type: Historical Society. Status: Private Nonprofit.

Block 3--Type of Application

Check appropriate type:

Item a. New--application for this project submitted to NEH for the first time.

Item b. Revision and Resubmission--a version of the application for this project was submitted to NEH previously but not funded.

Item c. Renewal--application for funding a new grant period for a project previously funded by NEH.

Item d. Supplement--application for additional funding to a current NEH grant.

Block 4--Program to which Application Is Being Made

This information is preprinted on your form. Preprinted forms ensure that the applicant has the correct instructions for the specific program.

If application is being made under one of the Endowment's initiatives described on page 9 of the guidelines, please indicate the number corresponding to the initiative in the space provided after Endowment Initiatives:

03C--The Foundations of American Society
03M--Columbian Quincentenary

Block 5--Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period.

Block 6--Project Funding

Enter here the appropriate figures from the Project Budget that is part of your application.

Block 7--Field of Project

Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the specific humanities field that best describes the content of the project.

Block 8--Descriptive Title of Project

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a

nonspecialist. NEH is obliged to be as clear as possible to the public about awards that it makes. The "descriptive title" will be used for this purpose whenever possible, but the Endowment staff may assign a different working title to the project.

Block 9--Description of Project

Provide a brief description of the proposed project. Do not exceed the space provided.

Block 10--Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding?

This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11--Institutional Data

Item a. Indicate the name of the institution and the city and state of its official mailing address.

Item b. Enter the institution's employer identification number.

Item c. Indicate the name and title of the person who is authorized to submit the application on behalf of the institution or organization and to provide the certifications required in Block 12.

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and the telephone number of the person who will be responsible for the financial administration of the grant if the award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project--such as, negotiating the project budget, ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12--Certification

The Endowment is required to seek from institutional applicants a certification regarding the nondiscrimination statutes and from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution is providing the applicable certifications. Please refer to the "Certifications" and the accompanying instructions in the appendix to these application guidelines.

NEH APPLICATION COVER SHEET

OMB No. 3136-0118
Expires 12/31/91

1. Individual applicant or project director

a. Name and mailing address

Name _____
(last) (first) (initial)

Address _____

_____

_____
(city) (state) (zip code)

b. Form of address: ☐

c. Social Security # _____ Date of birth _____ (mo./day/yr.)

d. Telephone number
Office: / (area code) Home: / (area code)

e. Major field of applicant or project director _____ ☐ (code)

f. Citizenship ☐ U.S.
☐ Other _____ (specify)

2. Type of applicant

a. ☐ by an individual b. ☒ through an org./institute
If a, indicate an institutional affiliation, if applicable, on line 11a.
If b, complete block 11 below and indicate here:
c. Type
d. Status

3. Type of application

a. ☐ new c. ☐ renewal
b. ☐ revision and resubmission d. ☐ supplement
If either **c** or **d**, indicate previous grant number:

_____

4. Program to which application is being made

Humanities Projects in Libraries and Archives ☐

Endowment Initiatives: _____ (code)

5. Requested grant period

From: _____ (month/year) To: _____ (month/year)

6. Project funding

a. Outright funds $ _____
b. Federal match $ _____
c. Total from NEH $ _____
d. Cost sharing $ _____
e. Total project costs $ _____

7. Field of project ☐

8. Descriptive title of project

9. Description of project (do not exceed space provided)

10. Will this proposal be submitted to another government agency or private entity for funding?
(if yes, indicate where and when):

11. Institutional data

a. Institution or organization:

_____
(name)

_____
(city) (state)

b. Employer identification number _____

c. Name and mailing address of institutional grant administrator:

_____
(last) (first) (initial)

_____

_____
(city) (state) (zip code)

Telephone / (area code) Form of address ☐

c. Name of authorizing official:

_____
(last) (first) (initial)

_____
(title)

12. Certification

By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution (Block 11c) is providing the applicable certifications regarding the nondiscrimination statutes, federal debt status, debarment and suspension, and a drug-free workplace, as set forth in the appendix to these application guidelines.

_____ (signature) _____ (date)

Note: Federal law provides criminal penalties of up to $10,000 or imprisonment of up to five years, or both, for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001.

For NEH use only
Date received
Application #
Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 1d and 7 of the NEH Application Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and *is not meant to define the disciplines of the humanities.* For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3
Art: History and Criticism M1
Dance: History & Criticism M3
Film: History & Criticism M4
Music: History & Criticism M5
Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1
Journalism P4
Media P3

Education H1

Ethnic Studies K1

Asian American K5
Black/Afro-American K4
Hispanic American K3
Jewish K6
Native American K2

History A1

African A2
American A3
Ancient AC
British A4
Classical A5
European A6
Far Eastern A7
Latin American A8
Near Eastern A9
Russian AA
South Asian AB

Humanities U8

Interdisciplinary U1

African Studies GI
American Studies G3
Area Studies GH
Asian Studies G5
Classics G7
Folklore/Folklife R1
History/Philosophy of Science, Technology or Medicine GA
International Studies GC
Labor Studies G4
Latin American Studies GJ
Medieval Studies G8
Regional Studies GF
Renaissance Studies G9
Rural Studies GC
Urban Studies G2
Western Civilization GB
Women's Studies G1

Languages C1

Ancient CC
Asian CA
Classical C2
Comparative C9
English CE
French C3
German C4
Italian C5
Latin American C6
Near Eastern CB
Slavic C7
Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK
American DE
Ancient DC
Asian DA
British DD
Classical D2
Comparative D9
French D3
German D4
Latin American D6
Literary Criticism DI
Near Eastern DB
Slavic D7
Spanish D8

Museum Studies/Historic Preservation I2

Philosophy B1

Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8

Religion E1

Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3

Social Science U2

American Government F2
Economics N1
Geography U7
International Relations F3
Political Science F1
Psychology U5
Public Administration F4
Sociology S1

National Endowment for the Humanities

BUDGET INSTRUCTIONS

Before developing a project budget, applicants should review those sections of the program guidelines and application instructions that discuss cost-sharing requirements, the different kinds of Endowment funding, limitations on the length of the grant period, and any restrictions on the types of costs that may appear in the project budget.

Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period.

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions.

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken that expenses that are included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

Less-than-first-class accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as an item costing more than $500 with an estimated useful life of more than two years.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may choose one of the following options:

1. The Endowment will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, major subcontracts), up to a maximum charge of $5,000. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.)

2. If your organization wishes to use a rate higher than 10 percent or claim more than $5,000 in indirect costs, an estimate of the indirect cost rate and the charges should be provided on the budget form. If the application is approved for funding, you will be instructed to contact the NEH Audit Office to develop an indirect cost proposal.

SAMPLE BUDGET COMPUTATIONS

						NEH Funds (a)	Cost Sharing (b)	Total (c)
Salaries and Wages								
Jane Doe/Project Director	[ ]	9 months x 100% @ $27,000/academic yr.				$13,500	$13,500	$27,000
Jane Doe	[ ]	1 summer month x 100% @ $3,000				3,000		3,000
John Smith/Research Assistant	[ ]	6 months x 50% @ $25,000/yr.				6,250		6,250
Secretarial Support	[1]	3 months x 100% @ $14,000/yr.				3,500		3,500
Fringe Benefits								
11 % of $36,250						2,503	1,485	3,988
8 % of $ 3,500						280		280
Travel	no. of persons	total travel days	subsistence costs	+	transport. costs =			
New York City/Chicago	[2]	[4]	$300		$430	730		730
Various/Washington D.C. conf.	[5]	[10]	$750		500	1,250		1,250
Consultant Fees								
Serbo-Croatian Specialist		5	$100			500		500
Services								
Long Distance Telephone		est. 40 toll calls @ $3.00				120		120
Conference Brochure		50 copies @ $3.50/copy				175		175
TOTAL DIRECT COSTS						$31,808	$14,985	$46,793
Indirect Costs								
20% of $46,793						$ 6,362	$ 2,997	$ 9,359
TOTAL PROJECT COSTS (Direct and Indirect)						$38,170	$17,982	$56,152

National Endowment for the Humanities

BUDGET FORM

OMB No. 3136-0118
Expires 12/31/91

Project Director	If this is a revised budget, indicate the NEH application/grant number:
Applicant Organization	Requested Grant Period From _____ (mo/yr) to _____ (mo/yr)

The three-column budget has been developed for the convenience of those applicants who wish to identify the project costs that will be charged to NEH funds and those that will be cost shared. FOR NEH PURPOSES, THE ONLY COLUMN THAT NEEDS TO BE COMPLETED IS COLUMN C. The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper.

When the requested grant period is eighteen months or longer, separate budgets for each twelve-month period of the project must be developed on duplicated copies of the budget form.

SECTION A — budget detail for the period from _____ (mo/yr) to _____ (mo/yr)

1. Salaries and Wages

Provide the names and titles of principal project personnel. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year.

name/title of position	no.	method of cost computation (see sample)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	[ ]	_____	$_____	$_____	$_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

2. Fringe Benefits

If more than one rate is used, list each rate and salary base.

rate		salary base	(a)	(b)	(c)
_____ %	of	$_____	$_____	$_____	$_____
_____ %	of	$_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

3. Consultant Fees

Include payments for professional and technical consultants and honoraria.

name or type of consultant	no. of days on project	daily rate of compensation	(a)	(b)	(c)
_____	_____	$_____	$_____	$_____	$_____
_____	_____	$_____	_____	_____	_____
_____	_____	$_____	_____	_____	_____
_____	_____	$_____	_____	_____	_____
_____	_____	$_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

4. Travel

For each trip, indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

from/to	no. of persons	total travel days	subsistence costs +	transportation costs =	**NEH Funds** (a)	**Cost Sharing** (b)	**Total** (c)
	[ ]	[ ]	$	$	$	$	$
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
				SUBTOTAL	$	$	$

5. Supplies and Materials

Include consumable supplies, materials to be used in the project, and items of expendable equipment; i.e., equipment items costing less than $500 or with an estimated useful life of less than two years.

item	basis/method of cost computation	(a)	(b)	(c)
		$	$	$
	SUBTOTAL	$	$	$

6. Services

Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts over $10,000, provide an itemization of subcontract costs on this form or on an attachment.

item	basis/method of cost computation	(a)	(b)	(c)
		$	$	$
	SUBTOTAL	$	$	$

7. Other Costs

Include participant stipends and room and board, equipment purchases, and other items not previously listed. Please note that "miscellaneous" and "contingency" are not acceptable budget categories. Refer to the budget instructions for the restriction on the purchase of permanent equipment.

item	basis/method of cost computation	NEH Funds (a)	Cost Sharing (b)	Total (c)
		$	$	$
	SUBTOTAL	$	$	$

8. Total Direct Costs (add subtotals of items 1 through 7) $ $ $

9. Indirect Costs [This budget item applies only to institutional applicants.]

If indirect costs are to be charged to this project, check the appropriate box below and provide the information requested. Refer to the budget instructions for explanat ons of these options.

- ☐ Current indirect cost rate(s) has/have been negotiated with a federal agency. (Complete items A and B.)
- ☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)
- ☐ Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)
- ☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of $5,000. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or $5,000, whichever sum is less.)

A. _____ (name of federal agency) _____ (date of agreement)

B.

rate(s)		base(s)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____ %	of	$_____	$	$	$
_____ %	of	$_____			
		TOTAL INDIRECT COSTS	$	$	$

10. Total Project Costs (direct and indirect) for Budget Period $ $ $

SECTION B — Summary Budget and Project Funding

SUMMARY BUDGET

Transfer from section A the total costs (column c) for each category of project expense. When the proposed grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed separately and totaled in the last column of the summary budget. For projects that will run less than eighteen months, only the last column of the summary budget should be completed.

Budget Categories	First Year/ from: to:	Second Year/ from: to:	Third Year/ from: to:	TOTAL COSTS FOR ENTIRE GRANT PERIOD
1. Salaries and Wages	$_____	$_____	$_____ =	$_____
2. Fringe Benefits	_____	_____	_____ =	_____
3. Consultant Fees	_____	_____	_____ =	_____
4. Travel	_____	_____	_____ =	_____
5. Supplies and Materials	_____	_____	_____ =	_____
6. Services	_____	_____	_____ =	_____
7. Other Costs	_____	_____	_____ =	_____
8. **Total Direct Costs (items 1-7)**	$_____	$_____	$_____ =	$_____
9. Indirect Costs	$_____	$_____	$_____ =	$_____
10. **Total Project Costs (Direct & Indirect)**	$_____	$_____	$_____ =	$_____

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

Requested from NEH:[1]		Cost Sharing:[2]	
Outright	$_____	Cash Contributions	$_____
Federal Matching	$_____	In-Kind Contributions	$_____
		Project Income	$_____
TOTAL NEH FUNDING	$_____	TOTAL COST SHARING	$_____

Total Project Funding (NEH Funds + Cost Sharing)[3] = $_____

[1]Indicate the amount of outright and/or federal matching funds that is requested from the Endowment.

[2]Indicate the amount of cash contributions that will be made by the applicant or third parties to support project expenses that appear in the budget. Include in this amount third-party cash gifts that will be raised to release federal matching funds. (Consult the program guidelines for information on cost-sharing requirements.)

Occasionally, in-kind (noncash) contributions from third parties are included in a project budget as cost sharing; e.g., the value of services or equipment that is donated to the project free of charge. If this is the case, the total value of in-kind contributions should be indicated.

When a project will generate income that will be used during the grant period to support expenses listed in the budget, indicate the amount of income that will be expended on budgeted project activities.

[3]Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator

Complete the information requested below when a revised budget is submitted. Block 11 of the application cover sheet instructions contains a description of the functions of the institutional grant administrator. The signature of this person indicates approval of the budget submission and the agreement of the organization to cost share project expenses at the level indicated under "Project Funding."

_____ Telephone (_____) _____

Name and Title (please type or print) area code

_____ Date _____

Signature

NEH Application/Grant Number: _____

APPENDIX

Instructions for Certification

1. The Endowment is required to seek from institutional applicants a certification regarding the nondiscrimination statutes and from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace.

2. By signing and submitting this proposal the individual applicant or the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to provide the Endowment with certification regarding the nondiscrimination statutes or a drug-free workplace, the prospective applicant is not eligible to apply for funding from the Endowment. When the applicant is unable to provide certification regarding federal debt status or debarment and suspension, the applicant shall attach an explanation to the proposal. The explanation of why the certification on federal debt status or debarment and suspension cannot be submitted will be considered in connection with the Endowment's funding determination. Failure to furnish a certification or an explanation shall disqualify such person from receiving an award from the Endowment.

3. The certification regarding the nondiscrimination statutes shall obligate the applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with Endowment assistance, this certification shall obligate the applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Endowment support, this certification shall obligate the applicant or any transferee for as long as the property or structure is used for the grant or similar purposes. This certification is binding on the applicant, its successors, transferees, and assignees, and on the authorizing official whose signature appears on the application cover sheet for this proposal.

4. The certifications are material representations of fact on which reliance will be placed when the Endowment determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification, in addition to other remedies available to the federal government, the Endowment may seek judicial enforcement of the certification, may terminate the award for cause or default, or, when applicable, may take action authorized under the Drug-Free Workplace Act.

5. The applicant shall provide immediate written notice to the Endowment if at any time the applicant learns that its certifications were erroneous when submitted or have become erroneous by reason of changed circumstances.

6. The applicant agrees by submitting this proposal that, should the proposal be funded by the Endowment, it shall not knowingly enter into any project related transactions (as defined under "lower tier covered transactions") with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Endowment.

7. The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tier covered transactions and in all solicitations for lower tier covered transactions: (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency. (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

8. A grantee may rely on the certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A grantee may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the list of "Parties Excluded from Nonprocurement Programs."

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except when specifically authorized by the Endowment, if a grantee knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to the remedies available to the federal government, the Endowment may terminate this transaction for cause or default.

11. The following definitions apply to the terms used in each of the certifications.

Definitions

Controlled Substance: A controlled substance in schedules I through V of Section 202 of the Controlled Substance Act (21 U.S.C. 812) and as further defined by regulation at 21 CFR 1300.11 - 1300.15.

Covered Transaction: A covered transaction is either a primary covered transaction or a lower tier covered transaction.

Debarment: An action taken by a debarring official in accordance with 45 CFR Part 1169 to exclude a person from participating in covered transactions. A person so excluded is "debarred."

Delinquent: Represents the failure to pay an obligation or debt by the date specified in the agency's initial written notification or applicable contractual agreement, unless other satisfactory payment arrangements have been made by that date, or if at any time thereafter, the debtor fails to satisfy the obligation under a payment agreement with the agency. If the debtor fails to pay the debt by the specified date, then the debt is delinquent and the "date of delinquency" is the date given as the payment due date for contractual agreements or the date notification of the debt was mailed, as appropriate.

Federal Debt: The amount of money or property that has been determined by an appropriate agency official to be owed to the United States by any person, organization, or entity. Examples of debt include delinquent taxes, audit disallowances, guaranteed and direct student loans, housing loans, farm loans, business loans, Department of Education institutional loans, benefit overpayments, and other miscellaneous administrative debts.

Grantee: (in the drug-free workplace certification) A person who applies for or receives a grant directly from a federal agency.

Ineligible: Excluded from participation in federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order, or regulatory authority, other than Executive Order 12549.

Lower Tier Covered Transaction:(a) Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction. (b) Any procurement contract for goods or services between a participant and a person, regardless of type, expected to equal or exceed the federal procurement small purchase threshold fixed at 10 U.S.C. 2304(g) and 41 U.S.C. 253(g) (currently $25,000) under a primary covered transaction. (c) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount, under which that person will have a critical influence on or substantive control over that covered transaction. Such persons are project directors, principal investigators, and providers of federally-required audit services.

Participant: Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction. This term also includes any person who acts on behalf of or is authorized to commit a participant in a covered transaction as an agent or representative of another participant.

Person: Any individual, corporation, partnership, association, unit of government, or legal entity, however organized, except foreign governments or foreign governmental entities, public international organizations, or foreign government owned or controlled entities.

Primary Covered Transaction: This is normally any nonprocurement transaction between an agency and a person, regardless of type, including grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance, payments for specified use, donation agreements, and any other nonprocurement transaction between a federal agency and a person.

Principal: Officer, director, owner, partner, key employee, or other person within a participant with primary management or supervisory responsibilities; or a person who has critical influence on or substantive control over a covered transaction, whether or not employed by the participant.

Proposal: A solicited or unsolicited bid, application, request, invitation to consider, or similar communication by or on behalf of a person seeking to participate or to receive benefit, directly or indirectly, in or under a covered transaction.

Suspension: An action taken by a suspending official in accordance with these regulations that immediately excludes a person from participating in covered transactions for a temporary period, pending completion of an investigation and such legal, debarment, or Program Fraud Civil Remedies Act proceedings as may ensue.

Voluntarily Excluded: The status of nonparticipation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.

Certifications

1. Certification Regarding the Nondiscrimination Statutes

The applicant (other than an individual who submits an application to the Endowment) certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.), which prohibits

discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 et seq.), which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status (OMB Circular A-129)

The applicant certifies to the best of its knowledge and belief that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169)

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988)

Alternate I. (Certification for Grantees Other than Individuals)

The grantee certifies that it will provide a drug-free workplace by (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions; (b) establishing a

drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace, (2) the grantee's policy of maintaining a drug-free workplace, (3) any available drug counseling, rehabilitation, and employee assistance programs, and (4) the penalties that may be imposed on employees for drug abuse violations; (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a); (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement and (2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace not later than five days after such conviction; (e) notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction; (f) taking one of the following actions with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination, or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency; and (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

Alternate II. (Certification for Grantees Who Are Individuals)

The grantee certifies that he or she will not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in conducting any activity with the grant.

Note:

If a proposed project relates to American Indians, Aleuts, Eskimos, or native Hawaiian people and artifacts, an applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs involving native American peoples.

G89-4

National Endowment for the Humanities
Division of General Programs,
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